



The regional transit authority for Lake County

Mailing Address: P.O. Box 158 • Grand River, Ohio 44045-0158  
Street Address: 555 Lake Shore Boulevard • Painesville, Ohio 44077  
Phone: (440) 350-1000 • Fax: (440) 354-4202

## **REQUEST FOR PROPOSALS**

**for**

## **STRATEGIC PLAN DEVELOPMENT SERVICES**

**PROPOSALS DUE BY: February 26, 2021 at 12:00 p.m. EST**

**Pre-Proposal Conference: February 11, 2021 at 2:00 p.m. EST**

<https://us02web.zoom.us/j/84846010815?pwd=ZEJ4MDk5azN1TjRoNVgzSyt4NDhzZz09>

Not-required, but highly recommended.

Date Issued: January 28, 2021

Contact:

Andrea Aaby, Director of Compliance and Development

[aaaby@laketransit.com](mailto:aaaby@laketransit.com)

440-350-1022

## **1.0 GENERAL**

Laketran is the regional transit authority for Lake County, Ohio. Lake County is located 35 miles east of Cleveland. The western portion of Lake County is located within the Cleveland Urbanized area and is densely developed. The eastern half is rural in nature.

### **1.1 Purpose**

Laketran seeks proposals from qualified firms to provide strategic planning services.

The requirements for the submittal and content of proposals, the timetable for this procurement, performance requirements, and contract terms are detailed in this Request For Proposal.

The terms "proposal", "Invitation for Bid", "IFB", "proposal", "Request for Proposals", "RFP", "bidder", "proposer", "contractor" and the like are used interchangeably throughout this IFB/RFP. Similarly, the terms "Laketran", "buyer", "purchaser" and "Authority" are used interchangeably. All terms, including "his" and "his/her", are used in a gender-neutral manner.

### **1.2 Due Date and Location**

Proposals are due in Laketran's offices by: February 26, 2021 at 12:00 p.m.

Proposals received after that date and time will not be accepted.

- Laketran's offices are located at 555 Lake Shore Boulevard, Painesville Township, Ohio 44077.
  - This address should be used for overnight delivery, UPS, etc.
- The mailing address for Laketran is Box 158, Grand River, Ohio 44045-0158.
  - This address should only be used for U.S. Mail. Proposers are cautioned that delivery of regular and overnight Mail to the P.O. Box may be delayed and that the P.O. Box should not be relied upon for on-time delivery of your proposal unless additional day's delivery time is allowed.

Proposals shall be in a sealed envelope. The exterior shall be explicitly labeled as follows:

RFP Strategic Plan Development Services

Due 2/26/21

- Proposer bears total responsibility for ensuring their proposal is complete and arrives on time.
- Proposals submitted by electronic submission will not be considered.
- Proposer must comply with each and every requirement of this RFP to be considered responsive.

### 1.3 Schedule

The following is the estimated schedule for the procurement:

January 28, 2021	Issuance of RFP
February 11, 2021 at 2:00 p.m. EST	Pre-Proposal Conference
February 26, 2021 at 12:00 p.m. EST	Proposals Due
March 12, 2021	Latest date to notify shortlisted firms
March 22 – 26, 2021 March 29 – April 2, 2021	Interviews with top firms
April 26, 2021	Approval of Contract Award by Laketran Board of Trustees

### 1.4 Length of Time Proposals Shall be Good

Proposals shall be good for ninety (90) days.

The length of time proposals shall be good - plus the schedule for the project - will be automatically extended by the amount of time required for Laketran and the Federal Transit Administration to process any Single Proposal (Section 1.23 below).

### 1.5 Number of Copies and Delivery

One (1) original plus five (5) copies of proposal(s) must be submitted. Please include one (1) electronic copy of the proposal(s) either USB or emailed directly to [aaaby@laketran.com](mailto:aaaby@laketran.com) (this is for administrative purposes only).

### 1.6 Proposal Bond, or Certified or Cashier's Check

Not Required.

### 1.7 Performance Bond

Not Required.

### 1.8 Insurance

The successful proposer shall maintain throughout this assignment the following insurance coverages:

- a) Workers Compensation statutory coverage.

- b) Insurance shall have commercial general liability limits of \$1 million per occurrence for bodily injury, personal injury and property damage. Minimum general aggregate shall be \$1 million.
- c) Automobile liability limit shall be at least \$1 million per accident for bodily injury and property damage where applicable.
- d) Ohio stop gap employer's liability with a \$1 million limit.
- e) Laketran, its officials, agents, employees and volunteers shall be named as an additional insured. This coverage shall be primary to the additional insured's and not contributing with any other insurance or similar protection available to the additional insured whether available coverage is primary, contributing or excess.
- f) All subcontractors to the prime contractor shall be included under the prime contractor's policies or shall finish separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all requirements of this section.
- g) All coverages shall be written on an occurrence basis.
- h) All must give Laketran at least 30 days written notice of cancellation, non-renewal and/or material changes.

All policies shall be provided by an insurer with an A.M. Best rating of A- or better.

### **1.9 Minimum Specifications**

The specifications contained in this IFB/RFP are the minimum specifications needed to meet Laketran's needs.

### **1.10 Request for Clarification/Approved Equal (RFAE)**

All requests for clarification of these specifications and for an approved equal (RFAE) must be in writing on the form provided in Section 4 and must be received by the time specified in Section 1.3 above.

Please note the items specified herein were selected through product comparisons and evaluation. Proposed alternates must match dimensions, finishes, performance and design features of the products specified herein.

Catalogs, product information and/or specifications must accompany all RFAE's.

Proposers whose product or service exceeds the minimum specifications herein need not submit an RFAE. Such Proposers may be required to prove they exceed these minimum specifications before being awarded a contract.

### **1.11 Disadvantaged Business Enterprise (DBE)**

This contractor shall not discriminate on the basis of race, color national origin, or sex in the performance of this Contract. The Contractor shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of this DOT-assisted contract. Failure by the

Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as Laketran deems appropriate. Each subcontract the Contractor signs with a subcontractor must include the assurance in this paragraph (see 49 C.F.R. 26.13(b)).

It is the policy of the Department of Transportation (DOT) that DBE's, as defined in 49 CFR, Parts 23 and 26, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds under this Agreement. Although the DBE goal for this procurement is 0%, Laketran welcomes DBE participation

If there are opportunities for sub-contractors to work on this project, then DBE rules will apply and contractors are expected to make good faith efforts to hire DBE subcontractors.

Should you have any questions regarding the DBE Program, please contact Andrea Aaby, [aaaby@laketran.com](mailto:aaaby@laketran.com).

### **1.11.1 Counting DBE Participation**

When a DBE participates in a contract, you count only the value of the work actually performed by the DBE toward DBE goals.

Count the entire amount of that portion of a construction contract (or other contract not covered by Paragraph (B)(2) of this section) that is performed by the DBE's own forces. Include the cost of supplies and materials obtained by the DBE for the work of the contract, including supplies purchased or equipment leased by the DBE (except supplies and equipment the DBE subcontractor purchases or leases from the prime contractor its affiliate).

Count the entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, toward DBE goals, provided you determine the fee to be reasonable and not excessive as compared with fees customarily allowed for similar services.

When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the DBE subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward DBE goals.

### **1.11 Buy America Certification (Vehicles Only)**

Not Required.

### **1.12 Presentations**

Laketrans may ask Proposer to explain elements of their proposal.

### **1.13 Inquiries**

All questions pertaining to this RFP should be directed to Andrea Aaby, Procurement and Grants Specialist, at (440) 350-1022 or sent to [aaaby@laketrans.com](mailto:aaaby@laketrans.com).

### **1.14 Clarifications, Approved Equals, Supplements**

Clarifications, Approved Equals and other supplements to this RFP may be issued to modify, change or clarify one or more points. All parties who request the RFP will be forwarded copies of supplements. Proposers are reminded to read and adhere to such supplements as compliance with them is integral to having your proposal reviewed.

### **1.15 Form of Proposal**

All forms must be completely filled in, signed and otherwise executed as indicated. Failure to do so can result in your proposal being declared "unresponsive".

Unless otherwise specified in this RFP, only the forms prescribed in Section 4 shall be included with your proposal.

### **1.16 Explanations (Written and/or Oral)**

Should a proposer find a discrepancy in or omissions from these specifications, or should he/she be in doubt as to their meaning, he/she shall at once make inquiry of Laketrans.

### **1.17 Alternate Proposals**

Alternate proposals may be submitted by the Proposer - at his/her discretion and risk - to achieve the essential purpose and intent of these specifications at a lower cost, without increasing Laketrans's risk or exposure. Such alternate proposals must be clearly identified and prominently labeled as such. Laketrans is not obligated to accept or review any alternate proposal.

### **1.18 Withdrawal of Proposal**

No proposal will be allowed to be withdrawn after it has been opened by Laketrans.

### **1.19 Consideration of Proposal**

ORC 9.28 stipulates that for RFPs no information will be released about any proposer or proposal until a contract award is made.

### **1.20 Rejection or Acceptance of Proposal**

Laketrans reserves the right to accept or reject any or all proposals, and any parts of any proposal.

In awarding a contract, Laketran reserves the right to consider all elements entering into the question of determining the responsibility of the Proposer. Any proposal which is incomplete, conditional, obscure, or which contains additions not called for, or irregularities of any kind, may be cause for rejection of the proposal. In case of any discrepancy between the price written in the proposal and that given in figures for any item, the price in writing will be considered as the proposal price.

#### **1.20 Unacceptable Proposals**

No proposal will be accepted from or contract awarded to any person, firm, or corporation that is in arrears or is in default to Laketran upon any debt or contract, or that is a defaulter as surety or otherwise upon any obligation to said Laketran or has failed to perform faithfully any previous contract with Laketran.

#### **1.21 Tie-Breaking (IFB only)**

In the event of a tie, Laketran shall make an award based upon federal and state law and regulations.

#### **1.22 Right to Perform Pre-Award Survey (IFB only)**

Not Required.

#### **1.23 Right to Verify Proposal - Single Proposal (IFB only, Contracts > \$100,000)**

Laketran shall verify proposals. In the event of a single proposal response, this solicitation will be automatically converted to a negotiated purchase which shall require the Contractor/Proposer to negotiate a fair and equitable price. Laketran retains the right to request certifiable cost analysis data which the Proposer must provide. Laketran reserves the right to negotiate an adjustment in Proposer's price if warranted by said analysis. FTA review of a single proposal may be required and will automatically extend the time proposals shall be good.

#### **1.24 Vehicle Trade-ins**

Not Required.

#### **1.25 Award of Contract**

Award will be made to the responsive, and responsible offeror whose proposal will be most advantageous to Laketran, according to the criteria listed in the RFP. A responsive proposal is one which complies with the terms, conditions and specifications of this RFP. A responsible proposal is one submitted by a company or joint venture possessing the capability and capacities to perform as required by this RFP.

Laketran reserves the right to award one, more than one or no contracts as Laketran deems to be in its best interests. If an RFP, Laketran further reserves the right to make an award on the basis

of an original proposal(s) without any negotiating with any offeror.

### **1.26 Contractual Terms and Conditions**

The terms and conditions of any contract that results between Laketran and the successful Proposer are discussed in Section 2. This will be a firm, fixed price contract term. Pricing will be inclusive of all travel, collateral materials, labor, and overhead.

### **1.27 Cost of Preparation**

All costs incurred by any Proposer prior to notice-to-proceed will not be reimbursed by Laketran.

### **1.28 Additional Information, Rejection**

Laketran reserves the right to request additional information from any Proposer, or none. It also reserves the right to reject any and all proposals without prior notice; to waive informalities and technicalities; to extend deadlines without notice; to negotiate directly with only those respondents deemed to be qualified according to the criteria on this RFP; and to enter into one, more than one, or no contracts as it shall deem to be in its best interests.

### **1.29 Terminology**

The terms "proposal", "Invitation for Proposal", "IFB", "proposal", "Request for Proposals", "RFP", "bidder", "proposer", "contractor" and the like are used interchangeably throughout this IFB/RFP. Similarly, the terms "Laketran", "buyer", "purchaser" and "Authority" are used interchangeably. All terms, including "his" and "his/her", are used in a gender-neutral manner.

### **1.30 Late Proposals**

Proposals received by Laketran after the exact time set for receipt in Section 1.2 above are considered "late". Late proposals will be considered only if received before contract award, and the following objective, bona fide proof is submitted showing reason or cause for delay as follows:

1. It was sent by registered or certified mail not later than 5 calendar days before the proposal receipt date specified;
2. It was sent by mail and it is determined by Laketran that the late receipt was due solely to mishandling by Laketran after receipt; or
3. It was sent by an overnight express service not later than 5:00 PM at the place of mailing 1 working day prior to the date specified for receipt of proposals and is marked for delivery by next business morning. The term "working days" excludes weekends and holidays.

The only acceptable evidence to establish the date of mailing by registered or certified mail is a



U.S. or Canadian postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both must show a legible date or it shall be deemed to have been mailed late.

The only acceptable evidence to establish the time of receipt at the Buyer's facility is the time/date stamp of such facility on the proposal wrapper or other documentary evidence of receipt maintained by the facility.

The only acceptable evidence to establish the date of mailing by an overnight express service is the date entered by the receiving clerk on the label.

### **1.31 Protests**

It is the policy of Laketran to prepare specifications for requests for proposals that are not discriminatory in nature. All solicitations are to be open and free to all competing vendors whereby all have a reasonable chance to be successful and be awarded a contract.

If a vendor feels that a particular solicitation is unfair for whatever reasons, the following procedure must be followed to register a proper protest and said procedure shall be a part of all solicitations:

STEP 1 - Protest must be made in writing and addressed to the General Manager no later than (1) three days before the scheduled proposal due date, (2) three days after the proposal opening, or (3) three days after contract award, as applicable. Such protest must cite what the solicitation was for, and for what reason the protest is lodged.

STEP 2 - The General Manager shall make all reasonable attempts to resolve the protest prior to the proposal opening or award of a contract, as applicable, and reserves the right to reschedule same if -at his discretion - deemed necessary. The General Manager must make his decision no later than ten (10) working days from date the protest is lodged.

STEP - If the protest is not satisfactorily resolved at Step 2, the person or firm making the protest may request a hearing with his legal counsel and Laketran, with Laketran's legal counsel serving as arbitrator on the matter. Request for such a hearing must be made within 15 working days of the original date the protest was filed.

The decision at Step 3 shall be final and binding on all parties.

If the vendor believes that Laketran did not follow the above process, he/she may appeal to the Federal Transit Administration (FTA) as follows:

Office of Program Management  
Federal Transit Administration  
Suite 320  
200 West Adams Street  
Chicago, IL 60606

(312) 353-2789

The Federal Transit Administration will hear appeals only where a local protest procedure does not exist or where the local procedure was not followed.

### **1.32 Addenda to RFP**

Laketrans reserves the right to amend the RFP at any time. Any amendments to the RFP shall be described in written addenda. Notification of the addenda also will be distributed to all prospective Proposers officially known to have received the RFP. Failure of any prospective Proposer to receive the notification or addenda shall not relieve the Proposer from any obligation under the RFP therein. All addenda issued shall become part of the RFP. Prospective Proposers shall acknowledge the receipt of each individual addendum in their Proposals on the form Acknowledgement of Addenda. Failure to acknowledge in the Proposal receipt of addenda may at the Agency's sole option disqualify the Proposal.

## 2.0 TERMS AND CONDITIONS IN CONTRACT FORM

To reduce paper consumption, the standard terms and conditions which shall apply to this procurement are not contained here. They can be found in a separate document entitled "Laketran Standard Contractual Terms and Conditions", which is available upon request. And is posted on our website at [www.laketran.com](http://www.laketran.com). Laketran's Standard Terms and Conditions **are hereby incorporated by reference into and made a part of this IFB/RFP** just as if they were reproduced in their entirety here. Further, Laketran's Standard Terms and Conditions are **extremely important, and are applicable to and binding upon** each bidder/proposer and will become **contractual to and binding upon** each successful bidder/proposer to whom a contract is awarded. **It is the bidder's/proposer's responsibility and obligation to have read and understood** Laketran's Standard Terms and Conditions. A summary of these terms and conditions follows:

2.1	Independent Contractor	2.43	Project Sign (Construction Projects Only)
2.2	Contractor's Obligation	2.44	Interest of Members or Delegates to Congress
2.3	Buyer's Obligation	2.45	Conflict of Interest
2.4	Scope of Work	2.46	False or Fraudulent Statements and Claims
2.5	Contract Period	2.47	No Federal Government Obligations to Third Parties
2.6	Cost	2.48	Privacy
2.7	Performance Bond/Insurance	2.49	Procurement
2.8	Notice to Proceed	2.50	Special Requirements for Transit Service Contracts
2.9	Contract Modification	2.51	Contract Work Hours and Safety Standards Act as Amended (Construction Projects Only)
2.10	Subcontract Approval	2.52	Copeland "Anti-Kickback" Act as Amended (Construction Projects Only)
2.11	Substitution of Subcontractor/ Independent Contractor	2.53	Seismic Safety (Construction Projects Only)
2.12	Disadvantaged Business Enterprise	2.54	Hatch Act/Work Day and Work Week Standards (for Construction Contracts)
2.13	Equal Employment Opportunity	2.55	Cargo Preference
2.14	Noncompliance (EEO/DBE)	2.56	Drug and Alcohol Testing
2.15	Delivery	2.57	Clean Air
2.16	Payment	2.58	Clean Water
2.17	Liquidated Damages	2.59	Energy Conservation
2.18	Taxes	2.60	Recycled Products
2.19	Inspection	2.61	Certifications
2.20	Explanations (Written and/or Oral)	2.62	Compliance with Laws and Regulations
2.21	Audit and Inspection of Records	2.63	Severability of Contract
2.22	Right to Adjust Cost	2.64	Applicable Law and Jurisdiction
2.23	Failure to Meet Specifications	2.65	Integrated Agreement
2.24	Quantity and Quality	2.66	Contractor's Representation
2.25	Warranties	2.67	Laketran's Understanding
2.26	Indemnification	2.68	OEM Part Numbers
2.27	Hold Harmless	2.69	Options, Assignment by Laketran
2.28	Disputes	2.70	Non-Smoking Policy
2.29	Rights Upon Breach	2.71	Funding Agencies
2.30	Notification of Proceedings	2.72	Jurisdiction
2.31	Termination/Breach of Contract		
2.32	Assignment		
2.33	Covenant Against Contingent Fees		
2.34	Patent Rights		
2.35	Release of Information		
2.36	Ownership of Documents		
2.37	Retention of Records		
2.38	Workmens' Compensation Act		
2.39	Social Securities Act/Unemployment Compensation, Etc.		
2.40	Federal Assistance		
2.41	Work Hours Act		
2.42	Davis Bacon Act (Prevailing Wage Rates for Construction Contracts)		

### **3.0 SCOPE OF WORK**

Laketran seeks qualified consultants to develop the agency's new Strategic Plan. This Request for Proposals (RFP) will lead to the selection of a consultant to lead the agency's strategic planning process. It is expected that this RFP will be used to engage with the selected consultant directly, with the scope of work to be finalized together.

Between 2013 and 2018 Laketran saw dramatic grow in ridership on its county wide demand response service branded Dial-a-Ride. Lake County Ohio has is a suburban county east of Cleveland, OH. The aging population lead to the increased need for Dial-a-Ride, which was the ultimate driver in the success of a levy in November of 2019 to increase Laketran's sales tax from ¼ percent to ½ percent.

As Laketran's implemented many of the service improvements promised to the tax payers, COVID-19 dramatically changed the daily habits of many people. Even though many people have changed habits, Laketran continued to complete improvements to service and as of the time of this RFP has completed all major campaign promises.

Laketran now needs to transition to a period of long term stability. This new period calls for a new strategic plan to guide us through this period. While ridership remains low due to COVID-19 Laketran must prepare for an inevitable increase in Dial-a-Ride service as people begin to travel more.

One of the main purposes of this plan will be to develop a clear vision for the next eight to ten years. A key element in this will be gaining consensus from Laketran's 9 member Board of Trustees. Laketran's Board has seen many new members in recent years and many struggle with long term thinking and this process will help consolidate their views into a cohesive long term plan.

The consultant and management will work together to prepare materials and visions for the Board to weigh in on and become invested in. Strong experience with Board of Trustee visioning and guidance will be essential to a successful project.

#### **3.1 Project Kick-Off**

- The Consultant will develop a work plan to guide project activities and communications.
- The Consultant will conduct an orientation and multiple briefing sessions for the Board and key stakeholders on project goals and the potential outcomes.
- The consultant must be available; in person, for presentations to the Board, including but not limited to, individual meetings with Board members, at least one all day retreat with the Board as a whole and, a presentation of the final version of the strategic plan developed through this project.
- Development and implementation of techniques/initiatives to promote public involvement designed to engage the Laketran's Board of Trustees and leadership throughout the process is critical.

### **3.2 Existing Conditions and Opportunities Analysis**

- **Organizational Overview** - Assessment of the strengths, weaknesses, and competencies of the organization. Includes but is not limited to:
  - Financial Position and Outlook
  - Peer review of other transit agencies in similar size, annual ridership, and demographics to Laketran- this is expected to be difficult as Laketran is unique in its service profile.
  - Review of existing planning documents for Laketran, Lake County, and the Northeast Ohio Areawide Coordinating Agency (NOACA).
  - Ridership trends
- **Trends, Gaps, and Needs Analysis** - Assessment of opportunities and threats facing Laketran in coming years. The assessment will include information on availability or significant limitation of resources and tools that Laketran could use to add value and further its goals.
- **Methodology** - The consultant will describe the methodology used to identify vital challenges and opportunities identified.
- **Identification of Opportunities, Strategies and Vision** - Refining the vision for Laketran which identifies its priorities, opportunities and strategies, and clarifies Laketran's role and confirms its mission and values.
- **Defining Future Access or Limiting Factors** - Fiscal needs/implications related to potential strategic pathways.

Deliverable(s): Technical report of findings

### **3.4 Stakeholders**

The consultant will serve as the facilitator for this process and is expected to take an active role in working with Laketran's Board of Trustees to build a cohesive vision for Laketran's future.

This stage includes consensus building among Laketran's Board to discover a shared strategic vision that is compelling, describes a clear and present need, motivates people to act, is a worthwhile challenge.

Deliverable(s): Board Retreat, individual interviews, meeting minutes, overall summary document of stakeholder outreach

### **3.5 Strategic Plan**

Strategies identified for implementation should be specific actions, programs, and projects. The strategic plan should include performance metrics, targets, associated costs and a timeline for completion. Tasks should be divided into short, medium and long-range (no more than 10 years).

The funding plan will outline necessary revenues to achieve the goals and identify funding sources and strategies for the 10-year time period. Strategy outcomes should be tied to goal-related performance metrics. Costs, potential funding mechanisms, and benefits should be identified for each strategy. If possible, opportunities for public-private partnerships should be identified.

Deliverable(s): Draft Strategic Plan, Final Strategic Plan, PowerPoint presentation to Laketrans' Board of Trustees, Executive Summary with high quality graphics.

### **3.6 Deliverables**

All deliverables will be provided as an electronic pdf and hardcopy format. Nonstandard file types will not be accepted.

### **3.7 Timeline**

The project is expected to take 12 months to complete.

### **3.8 Consultant Responsibilities**

The consultant is responsible for preparing and creating all of the deliverables. The Final Strategic Plan Document and the Executive Summary must be presented in draft form for editing prior to finalization. The consultant needs to attend all project meetings, create presentations, and take notes at those meetings. Each meeting must be documented for the report. Make all presentations to the Laketrans Staff and Board of Trustees as required for the project.

The consultant is expected to take the lead in meetings with stakeholders in order to facilitate meetings that are productive, on-topic, and cooperative.

### **3.9 DBE Participation**

A DBE goal has not been assigned to this procurement, however, proposers should be aware that if subcontracting opportunities exist at any point throughout the life of the contract that DBE contracting goals will apply (5.17%). Refer to Form H for more information on good faith efforts and complete page H if you propose to subcontract any work to DBEs.

Regardless of DBE participation, all proposers must sign and notarize Form H.

### **3.10 Proposals**

Proposals will be limited to 40 pages (not including cover letter or mandatory forms).

- Technical Capabilities - Based upon the project description and scope of work, the proposal should address the disciplines and expertise required to perform the necessary services. The following information is requested:

- Organizational table of team members
  - A general plan for staffing the work, showing the key management and/or technical personnel each member of the design team, and their function on the project.
  - Statement of recent relevant experience of each member of the team with similar projects of comparable size and scope for similar facilities.
  - References from similar projects in size or scope.
- Project Understanding - The following information is requested to establish that the team has an understanding of the intent of this project:
    - A brief discussion of the major considerations involved in performing the requested scope of services.
    - The proposer should describe its approach to the work effort involved to perform the project scope, indicating how the proposed methodology will benefit Laketrans.
- Project Management plan - This plan describes the consultant's organization of the project.
    - It must detail the number and regularity of all meetings associated with the completion of the plan.
    - Provide an implementation schedule by week number from project start-up date.
- Detailed Budget

### 3.11 Evaluation Criteria

Proposals will be evaluated on the following criteria:

	Poor	Below Expectations	Meets Expectations	Exceeds Expectations	Outstanding
Transit Board Planning Experience					
Project Understanding					
Project Management Plan					
Past Performance – includes references and relevant project history					
Price					

### 3.12 Interviews

The evaluation committee will conduct interviews with the firms determined to be the best technically qualified. Laketrans reserves the right to determine the number of interviews to be conducted based on the quality of the proposals submitted.

**4.0 REQUIRED FORMS**

**The following forms must be included with your Bid:**

- 1. Pricing Form – Attachment A**
- 2. Contact Information Form – Attachment B**
- 3. Certificate of Insurance**
- 4. W-9**
- 5. Attachments C, D, E, F, G, H**
- 6. Bidder Registration Form**
- 6. Include the original and five (5) copies of the entire proposal. Email one electronic copy to [aaaby@laketrans.com](mailto:aaaby@laketrans.com) or provide a USB (this is for administrative purposes only).**

**Proposals will be limited to 40 pages (not including cover letter or mandatory forms).**

**Any sub-contractors are required to complete Lower Tier Participant Forms Attachments C2 – G2.**

**Note: The bidder is required to sign six (6) times. Notary is required to sign four (4) times.**

Name \_\_\_\_\_

Company \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_ Cell \_\_\_\_\_

Email: \_\_\_\_\_

Name of Authorized Individual: \_\_\_\_\_

Signature of Authorized Individual: \_\_\_\_\_

Bids shall be good for 90 days after bid opening. Bid price is based on payment of net 30 days. The undersigned understands that terms and conditions demanded other than those in Section 2.0, or listed or referred to above will render the bid unresponsive.

Laketrans reserves the right to award a unit price contract for the lowest, responsive and responsible bid/proposal that Laketrans deems is in its best interests. Laketrans further reserves the right to award one, more than one or no contracts as may be in its best interests.



**ACKNOWLEDGEMENT OF ADDENDA**

The undersigned acknowledges receipt of the following addenda to the document:

Addendum No. \_\_\_\_\_, Dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, Dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, Dated \_\_\_\_\_

Failure to acknowledge receipt of all addenda may cause the bid to be considered non-responsive to the solicitation. Acknowledged receipt of each addendum must be clearly established and included with the offer.

The undersigned understands that any conditions stated above, clarifications made to above or information submitted on or with this form other than that requested, will render bid unresponsive.

\_\_\_\_\_  
(Name of Individual, Partnership or Corporation)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Authorized Signature) (Title)

**ATTACHMENT A - LAKETRAN PRICING FORM**

<b>Laketrans Strategic Plan Cost Proposal</b>			
	<b>Estimated Hours</b>	<b>Average Labor Cost / Hour</b>	<b>Estimated Cost</b>
Existing Conditions Analysis			\$
Trends, Gaps, Needs Analysis			\$
Opportunities, Strategies, Vision Analysis			\$
Stakeholder Outreach			\$
Strategic Plan Development			\$
<i>Other - please specify</i>			\$
<i>Other - please specify</i>			\$
<i>Other - please specify</i>			\$
<b>Sub-Total</b>			\$
Overhead Costs			\$
Estimated Direct Costs (travel, printing, etc.)			\$
<b>Total Project Cost</b>			\$

**ATTACHMENT B  
CONTACT INFORMATION FORM**

Laketrans requires a primary point of contact and a back-up. Please list them below.

**Primary Contact:**

**Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Back-up Contact:**

**Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**REFERENCES:**

(only include references for work completed in the last 3 years)

**Reference #1**

**Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Work Completed:** \_\_\_\_\_

**Years of Service:** \_\_\_\_\_

**Reference #2**

**Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Work Completed:** \_\_\_\_\_

**Years of Service:** \_\_\_\_\_

**Reference #3**

**Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Work Completed:** \_\_\_\_\_

**Years of Service:** \_\_\_\_\_

**ATTACHMENT C**  
**CERTIFICATION OF PRIMARY PARTICIPANTS**  
**REGARDING RESTRICTIONS ON LOBBYING**

I, \_\_\_\_\_ (Name and Title of authorized official), hereby certify on behalf of \_\_\_\_\_ (Company Name) that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

By \_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Title of Authorized Official

**ATTACHMENT D  
CERTIFICATION OF PRIMARY PARTICIPANT  
REGARDING DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

The Primary Participant (applicant for a potential contractor for a major third party contract), \_\_\_\_\_  
\_\_\_\_\_ certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification;
4. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default; and
4. Are not included in the U. S. General Services Administration's List of Parties Excluded from Federal Procurement or Non-procurement Programs.

If the primary participant (applicant for a potential third party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.

**THE PRIMARY PARTICIPANT (APPLICANT FOR A POTENTIAL CONTRACTOR FOR A MAJOR THIRD PARTY CONTRACT), \_\_\_\_\_ CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C., SECTIONS 3801 ET SEQ. ARE APPLICABLE THERETO.**

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**ATTACHMENT E  
CERTIFICATION OF PRIMARY PARTICIPANT  
REGARDING STANDARD PROJECT ASSURANCES**

The Primary Participant (applicant for a potential contractor for a major third party contract), \_\_\_\_\_  
\_\_\_\_\_ certifies to the best of its knowledge and belief, that it and its principals:

1. The Primary Participant hereby agrees that Laketran has the right to reject any and all bids, to waive informality in any bid, to negotiate directly with only qualified respondents, to award one, more than one, or no contracts. Bidder further agrees it shall not dispute the correctness of the quantities used in computing the lowest and best bid.
  
2. If the Primary Participant is not the parent company, insert below the name and main office address of the parent company. (A parent company is one that owns at least a majority, fifty-one percent of the voting rights and/or assets in that company.) By execution of this section, the parent company acknowledges the Proposer is authorized to submit this Proposal on parent company's behalf.

Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
City, State, Zip \_\_\_\_\_  
Phone \_\_\_\_\_  
Fax \_\_\_\_\_  
E-mail \_\_\_\_\_  
Website \_\_\_\_\_

3. Primary Participant hereby assures and certifies that it will comply with the Federal statutes, regulations, executive orders and requirements which relate to the applications made to and grants received from the Federal Transit Administration. Proposer acknowledges such statutes, regulations, Executive orders and administrative requirements include - but are not limited to - the following:

The Primary Participant certifies that it is not on the Controller General's list of ineligible contractors.

Primary Participant further acknowledges the provisions of Section 1001 of Title 18, U.S.C., apply to any assurance or submissions under this section.

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.

**ATTACHMENT F  
CERTIFICATION OF PRIMARY PARTICIPANT  
REGARDING NON-COLLUSION**

This affidavit is to be filled out and executed by the Primary Participant; if a corporation makes the bid, then by its properly executed agent. The name of the individual swearing to the affidavit should always appear on the line marked "Name of Affidavit." The affidavit's capacity, when a partner or officer of a corporation, should be inserted on lines marked "Capacity." The affidavit should sign individual name at end not partnership or corporation name, and swear to said affidavit before a notary public, who must attach his/her seal.

State of \_\_\_\_\_,  
County of \_\_\_\_\_,

I, \_\_\_\_\_ being first duly sworn, do hereby state that  
(Name of Affidavit)

I am \_\_\_\_\_ of \_\_\_\_\_  
(Capacity) (Name of Firm, Partnership, Corporation)

Whose business is \_\_\_\_\_

And who resides at \_\_\_\_\_

And that \_\_\_\_\_  
(Give names of all persons, firms, or corporation interested in the bid)

is/are the only person(s) with me/us in the profits of the herein contained contract; that the contract is made without any connection or interest in the profits thereof with any persons making any bid or bid for said work; that the said contract is on my/our part, in all respects fair and without collusion or fraud, and also that no members of the Board of Trustees, head of any department or bureau, or employee therein, or any employee of the Authority, is directly or indirectly interested therein.

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.

**ATTACHMENT G  
CERTIFICATION OF PRIMARY PARTICIPANT REGARDING  
DELINQUENT PERSONAL PROPERTY STATEMENT**

\_\_\_\_\_ (Primary Participant), hereby affirms under oath, pursuant to Ohio Revised Code Section 5719.042, that at the time the bid was submitted by \_\_\_\_\_ (company) **was / was not (please circle one)** charged with delinquent personal property taxes on the General Tax List of Personal Property for Lake County, Ohio.

If such charge for delinquent personal property tax exists on the General Tax List of Personal Property for Lake County, Ohio, the amount of such due and unpaid delinquent taxes, including due and unpaid penalties and interest shall be set forth below. A copy of this statement shall be transmitted to the Lake County Treasurer within thirty (30) days of the date it is submitted. If a contract is entered into, a copy of this statement shall also be incorporated into the contract between Laketrans and the Primary Participant and no payment shall be made with respect to any contract unless such statement has been so incorporated as a part thereof.

\$ \_\_\_\_\_ Delinquent Personal Property Tax \*

\$ \_\_\_\_\_ Penalties \*

\$ \_\_\_\_\_ Interest \*

\$ \_\_\_\_\_ Total \*

\* Mark "N/A" if not applicable

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.



**ATTACHMENT H**  
**CERTIFICATION OF PRIMARY PARTICIPANT REGARDING**  
**DBE CERTIFICATION**  
**6 Pages**

It is the policy of Laketran to offer the maximum feasible participation of Disadvantaged Business Enterprises in contracting opportunities with the Laketran. In compliance with 49 CFR Part 26 "Participation by Minority Business Enterprise in Department of Transportation Programs", Laketran establishes annual percentage goals based on budgeted contracting activities for DBE's. In order to account for eligible DBE participation and establish a directory to identify and promote the utilization of such business it is required that certain pertinent information and an affidavit attesting to the eligibility of the business as defined by the Federal Regulations (49 CFR Part 26) be provided to Laketran.

Bidder must complete and certify to one of the following:

- Part A            if the bidder itself is a DBE-MBE-WBE firm
- Part B            if the bidder meets the goal for DBE-MBE-WBE participation
- Part C and D    if the bidder does NOT meet the goal for DBE-MBE-WBE participation

**All bidders must execute Part E of this section.**

Good Faith Efforts must be made to include DBE firms in this contract. Such efforts are integral to your being considered responsive to this tender. Documentation of your Good Faith Efforts must be included in Part C. Guidance on what constitutes Good Faith Efforts is included in Part D of this section. Insufficient or inadequate efforts or a blank Part C are grounds to declare your tender unresponsive and not considered.

**Part A**

The firm submitting this bid/proposal certifies that it is a [ ] DBE [ ] MBE [ ] WBE firm. It was certified by the Ohio UCP (if DBE) or by \_\_\_\_\_ (if MBE/WBE) on \_\_\_\_\_.

**Part B**

The firm submitting this bid/proposal certifies that one or more DBE-MBE-WBE firms will participate in this contract and are identified as follows:

Amount of Bid Committed to this Firm _____%		It is a [ ] DBE [ ] MBE [ ] WBE	
Firm Name			
Contact Name			
Address 1			
City, State		Zip	
Telephone		Fax	

Email			
Certified by		Date	

Amount of Bid Committed to this Firm _____%		It is a <input type="checkbox"/> DBE <input type="checkbox"/> MBE <input type="checkbox"/> WBE	
Firm Name			
Contact Name			
Address 1			
City, State		Zip	
Telephone		Fax	
Email			
Certified by		Date	
Amount of Bid Committed to this Firm _____%		It is a <input type="checkbox"/> DBE <input type="checkbox"/> MBE <input type="checkbox"/> WBE	
Firm Name			
Contact Name			
Address 1			
Address 2			
City, State		Zip	
Telephone		Fax	
Email			
Certified by		Date	

Complete the following table to show total participation by DBE-MBE-WBE firms:

	DBE	MBE	WBE
\$ to be paid to firm(s)			
% of total bid			

Total Participation by DBE-MBE-WBE	
------------------------------------	--

Did you meet the goal for participation by DBE-MBE-WBE firms in this tender?  Yes  No

If No, complete Parts C and D below.

**Part C**

The firm certifies the following DBE-MBE-WBE firms were not selected or declined to participate for the reason(s) shown. Attached additional pages if needed.

Firm	Reasons not selected or declined to participate
Firm Name Contact Name Address Address City State Zip Phone Fax Email	
Firm Name Contact Name Address Address City State Zip Phone Fax Email	
Firm Name Contact Name Address Address City State Zip Phone Fax Email	

**Part D**

Firm certifies it cannot meet the participation goals for this contract and specifies the following good faith efforts on the attached, separate pages.

1. List the dates of advertisements placed in general circulation, trade association and minority-focus media concerning the subcontracting opportunities.
2. Attach copies of correspondence soliciting bids from DBE-MBE-WBE firms.
3. Attach phone logs, letters, notes, etc. to document your followup activity to your initial enquiry to

determine with certainty whether the DBE-MBE-WBE firms were interested.

4. Discuss how you selected portions of the work to be performed by DBE-MBE-WBE firms in order to increase likelihood of meeting the participation goals.
5. Discuss how you provided adequate information to DBE-MBE-WBE firms about this contracting opportunity.
6. Explain your good faith negotiations with interested DBE-MBE-WBE firms and your sound reasons for rejecting them.
7. Discuss your efforts to assist DBE-MBE-WBE firms in obtaining bonding, lines of credit or insurance required by this tender.
8. Discuss your efforts to assist DBE-MBE-WBE firms in obtaining equipment, supplies, materials or related assistance.
9. Describe the minority community organizations, minority contractor's groups, local, state and federal minority business assistance offices or listings and other organizations that provide assistance in identifying and subcontracting with DBE-MBE-WBE firms.
10. Describe other efforts not covered by 1 through 8 above to indicate your affirmative action to obtain DBE-MBE-WBE participation on this tender.

**Part E**

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

Notary Executes Here:

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.

**Guidance Concerning Good Faith Efforts  
Excerpted from Appendix A to 49 CFR Part 26  
(Federal Register p. 5145, February 2, 1999)**

I. When a contract DBE goal is established on a USDOT-assisted contract, a bidder must, in order to be responsive, make good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways as follows:

1. The bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose.

2. Even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

II. The quality, quantity, and intensity of the different kinds of efforts that the bidder has made to obtain DBE participation are key to a finding the bidder made good faith efforts. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements.

III. The following is a list of types of actions that demonstrate a bidder's good faith efforts to obtain DBE participation. This is not a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

D. Negotiating in good faith with interested DBEs.

It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in

finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services. H. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/ women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

IV. Determining whether a bidder has made good faith efforts can take into account the performance of other bidders in meeting the contract goal. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, the question must be asked whether, with additional reasonable efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, this will be viewed in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts.

**ATTACHMENT I**  
**LAKETRAN BIDDER REGISTRATION FORM**

Per 49 CFR Part 26.11, Laketrans is required to collect the following information on contractors and sub-contractors who seek to work on Federally-assisted Contracts

Legal Name of Business \_\_\_\_\_

Contact Person's Name (first, last) \_\_\_\_\_

Age of your business (in years) \_\_\_\_\_

Type of Business (choose all that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> Advertising  | <input type="checkbox"/> Fuel Systems and Technology                  |
| <input type="checkbox"/> Architecture   | <input type="checkbox"/> Functional Capacity Assessment               |
| <input type="checkbox"/> Auction Services                                       | <input type="checkbox"/> Graphic Design                               |
| <input type="checkbox"/> Automobile Sales or Distributor                        | <input type="checkbox"/> HVAC   |
| <input type="checkbox"/> Bicycle  | <input type="checkbox"/> Industrial Equipment & Components            |
| <input type="checkbox"/> Bus and Automobile Maintenance Products and Services   | <input type="checkbox"/> Lawn & Landscaping                           |
| <input type="checkbox"/> Bus Exterior Products/Services                         | <input type="checkbox"/> Marketing                                    |
| <input type="checkbox"/> Bus Interior Products/Services                         | <input type="checkbox"/> Office Products including printers and faxes |
| <input type="checkbox"/> Bus Manufacturer                                       | <input type="checkbox"/> Printing Services                            |
| <input type="checkbox"/> Bus Sales or Distributor                               | <input type="checkbox"/> Roofing                                      |
| <input type="checkbox"/> Bus Technology   | <input type="checkbox"/> Security Systems                             |
| <input type="checkbox"/> Cleaning or Janitorial                                 | <input type="checkbox"/> Signage                                      |
| <input type="checkbox"/> Computer Services & IT                                 | <input type="checkbox"/> Snowplowing & Snow Removal                   |
| <input type="checkbox"/> Construction (includes Roofing, Windows, Cement, etc.) | <input type="checkbox"/> Technology                                   |
| <input type="checkbox"/> Consulting Services                                    | <input type="checkbox"/> Telecommunications                           |
| <input type="checkbox"/> Engineering Services                                   | <input type="checkbox"/> Temporary Employment Agency                  |
| <input type="checkbox"/> Fare Collection and Fare Technology                    | <input type="checkbox"/> Transit Partner                              |
| <input type="checkbox"/> Financial, Banking, & Auditing                         | <input type="checkbox"/> Uniforms & Shoes                             |
| <input type="checkbox"/> Fuel   | <input type="checkbox"/> Utilities - electric, plumbing, sewer        |
|   | <input type="checkbox"/> Vehicles (non-bus)                           |
- Other - describe using key words \_\_\_\_\_

Business Street Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_

Zip Code \_\_\_\_\_

Email Address \_\_\_\_\_

Website URL \_\_\_\_\_

Gross Annual Receipts – choose the category that best applies to your business.

[A requirement per 49 CFR Part 26.11.]

- \$0 - \$500,000
- \$500,000 - \$1 million
- \$1 million - \$2 million
- \$2 million - \$ 5 million
- \$5 million or more

Is your business registered as a DBE?

YES

NO

The following forms must be completed by any sub-contractors that will be working on the project. If there are no sub-contractors, these forms do not need to be completed.



**ATTACHMENT C-2**  
**CERTIFICATION OF LOWER-TIER PARTICIPANTS**  
**REGARDING RESTRICTIONS ON LOBBYING**

I, \_\_\_\_\_ (Name and Title of Authorized Official), hereby certify on behalf of \_\_\_\_\_ (Name of Subcontractor) that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By \_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Title of Authorized Official

**ATTACHMENT D-2  
CERTIFICATION OF LOWER-TIER PARTICIPANTS REGARDING  
DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

The Lower Tier Participant (potential subcontractor under a major third party contract) \_\_\_\_\_, certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification;
4. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default; and
5. Are not included in the U. S. General Services Administration's List of Parties Excluded from Federal Procurement or Non-procurement Programs.

If the Lower Tier Participant (potential subcontractor under a major third party contract) is unable to certify to any of the statements in this certification, such participant shall attach an explanation to this proposal.

**THE LOWER-TIER PARTICIPANT (POTENTIAL SUBCONTRACTOR UNDER A MAJOR THIRD PARTY CONTRACT), \_\_\_\_\_, CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C., SECTIONS 3801 ET SEQ. ARE APPLICABLE THERETO.**

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**ATTACHMENT E-2  
CERTIFICATION OF LOWER-TIER PARTICIPANT  
REGARDING STANDARD PROJECT ASSURANCES**

The Lower Tier Participant (applicant for a potential subcontractor for a major third party contract), \_\_\_\_\_  
\_\_\_\_\_ certifies to the best of its knowledge and belief, that it and  
its principals:

1. The Lower Tier Participant hereby agrees that LAKETRAN has the right to reject any and all bids, to waive informality in any bid, to negotiate directly with only qualified respondents, to award one, more than one, or no contracts. Bidder further agrees it shall not dispute the correctness of the quantities used in computing the lowest and best bid.
  
2. If the Lower Tier Participant is not the parent company, insert below the name and main office address of the parent company. (A parent company is one that owns at least a majority, fifty-one percent of the voting rights and/or assets in that company.) By execution of this section, the parent company acknowledges the Proposer is authorized to submit this Proposal on parent company's behalf.

Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
City, State, Zip \_\_\_\_\_  
Phone \_\_\_\_\_  
Fax \_\_\_\_\_  
E-mail \_\_\_\_\_  
Website \_\_\_\_\_

3. Lower Tier Participant hereby assures and certifies that it will comply with the Federal statutes, regulations, executive orders and requirements which relate to the applications made to and grants received from the Federal Transit Administration. Proposer acknowledges such statutes, regulations, Executive orders and administrative requirements include - but are not limited to - the following:

The Lower Tier Participant certifies that it is not on the Controller General's list of ineligible contractors. The Lower Tier Participant further acknowledges the provisions of Section 1001 of Title 18, U.S.C., apply to any assurance or submissions under this section.

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.

**ATTACHMENT F-2  
CERTIFICATION OF LOWER-TIER PARTICIPANT  
REGARDING NON-COLLUSION**

This affidavit is to be filled out and executed by the Lower Tier Participant; if a corporation makes the bid, then by its properly executed agent. The name of the individual swearing to the affidavit should always appear on the line marked "Name of Affidavit." The affidavit's capacity, when a partner or officer of a corporation, should be inserted on lines marked "Capacity." The affidavit should sign individual name at end not partnership or corporation name, and swear to said affidavit before a notary public, who must attach his/her seal.

State of \_\_\_\_\_,  
County of \_\_\_\_\_,

I, \_\_\_\_\_ being first duly sworn, do hereby state that  
(Name of Affidavit)

I am \_\_\_\_\_ of \_\_\_\_\_  
(Capacity) (Name of Firm, Partnership, Corporation)

whose business is \_\_\_\_\_

and who resides at \_\_\_\_\_

and that \_\_\_\_\_  
(Give names of all persons, firms, or corporation interested in the bid)

is/are the only person(s) with me/us in the profits of the herein contained contract; that the contract is made without any connection or interest in the profits thereof with any persons making any bid or bid for said work; that the said contract is on my/our part, in all respects fair and without collusion or fraud, and also that no members of the Board of Trustees, head of any department or bureau, or employee therein, or any employee of the Authority, is directly or indirectly interested therein.

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.

**ATTACHMENT G-2**

**ATTACHMENT G-2  
CERTIFICATION OF LOWER-TIER PARTICIPANT REGARDING  
DELINQUENT PERSONAL PROPERTY STATEMENT**

\_\_\_\_\_ (Lower-Tier Participant), hereby affirms under oath, pursuant to Ohio Revised Code Section 5719.042, that at the time the bid was submitted by \_\_\_\_\_ (company) **was / was not (please circle one)** charged with delinquent personal property taxes on the General Tax List of Personal Property for Lake County, Ohio.

If such charge for delinquent personal property tax exists on the General Tax List of Personal Property for Lake County, Ohio, the amount of such due and unpaid delinquent taxes, including due and unpaid penalties and interest shall be set forth below. A copy of this statement shall be transmitted to the Lake County Treasurer within thirty (30) days of the date it is submitted. If a contract is entered into, a copy of this statement shall also be incorporated into the contract between LAKETRAN and the Lower-Tier Participant and no payment shall be made with respect to any contract unless such statement has been so incorporated as a part thereof.

\$ \_\_\_\_\_ Delinquent Personal Property Tax \*

\$ \_\_\_\_\_ Penalties \*

\$ \_\_\_\_\_ Interest \*

\$ \_\_\_\_\_ Total \*

\* Mark "N/A" if not applicable

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

***Notary Executes Here:***

Taken, subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the County of \_\_\_\_\_, State of \_\_\_\_\_.

My commission expires \_\_\_\_\_.